

**Form PTO-1449 (modified)**

List of Patents and Publications for Applicant's

**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Atty. Docket No.  
MOBT:193-2/DOSSerial No.  
10/010,731

## Applicants

Jihong Liang, Dilip Maganlal Shah, Yonnie S. Wu,  
Cindy A. Rosenberger and Salim HakimiFiling Date:  
November 13, 2001Group:  
1638

U.S. Patent Documents

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**U.S. Patent Documents**

| Exam. Init. | Ref. Des. | Document Number | Date     | Name             | Class   | Sub Class | Filing Date if App. |
|-------------|-----------|-----------------|----------|------------------|---------|-----------|---------------------|
| MAI         | AA        | 4,940,840       | 07/10/90 | Suslow et al.    | 800/205 | 07/18/86  | —                   |
|             | AB        | 5,421,839       | 06/06/95 | Ulbrich et al.   | 47/58   | 06/12/91  | —                   |
|             | A1        | 5,488,035       | 01/30/96 | Rao              | 514     | 13        | 12-06-91            |
|             | A2        | 5,508,264       | 04/16/96 | Bradfisch et al. | 514     | 12        | 12/06/94            |
| ↓           | AA1       | 5,530,187       | 06/25/96 | Lamb et al.      | 800     | 205       | —                   |

**Foreign Patent Documents**

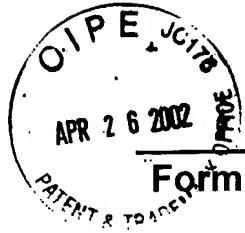
| Exam. Init. | Ref. Des. | Document Number | Date     | Country  | Class | Sub Class | Translation Yes/No |
|-------------|-----------|-----------------|----------|--|-------|-----------|--------------------|
| MAI         | BA        | WO 93/05153     | 3/18/93  | PCT  | C12N  | 15/29     | —                  |
|             | BB        | EP 0392 225     | 10/17/90 | Europe   | C12N  | 15/82     | —                  |
| ↓           | BC        | WO 92/17591     | 10/15/92 | PCT  | C12N  | 15/56     | —                  |
|             | BD        | EP 0385 962     | 09/05/90 | Europe<br>(corresponds to<br>USSN<br>07/476,661) | C12N  | 15/82     | —                  |
|             | BE        | EP 0292435      | 11/23/88 | Europe   | C12N  | 15/00     | —                  |
|             | BF        | WO 88/00976     | 02/11/88 | PCT  | C12P  | 21/00     | —                  |
|             | BG        | WO 90/07001     | 06/28/90 | PCT  | C12N  | 15/56     | —                  |
|             | BH        | EP 0307841      | 03/22/89 | Europe   | C12N  | 15/00     | —                  |
|             | BI        | WO 84/02913     | 08/02/84 | PCT  | C07H  | 15/12     | —                  |
|             | BJ        | WO 92/04449     | 03/19/92 | PCT  | C12N  | 15/54     | —                  |
| ↓           | BK        | EP 0332104      | 09/13/89 | Europe   | C12N  | 15/00     | —                  |
|             | BL        | EP 0440304      | 08/07/91 | Europe   | C12N  | 15/56     | —                  |

Examiner: *Medina A. Ibrahim*

Date Considered:

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|-------------|-----------|-----------------|----------|--|-------|-----------|--------------------|
| M API       | BM        | EP 0418695      | 03/27/91 | Europe<br>(equivalent to CA 2,025,083) | C12N  | 15/82     | yes                |
|             | BN        | EP 0448511      | 09/25/91 | Europe                                 | A01N  | 63/00     |                    |
|             | BO        | WO 91/06312     | 05/16/91 | PCT                                    | A61K  | 37/54     |                    |
|             | BP        | WO 91/18984     | 12/12/91 | PCT                                    | C12N  | 15/29     |                    |
|             | BQ        | WO 95/18229     | 07/06/95 | PCT                                    |       |           |                    |
|             | B8        | WO 92/15691     | 09/17/92 | PCT                                    | C12N  | 15/82     |                    |
|             | B9        | WO 92/20800     | 11/26/92 | PCT                                    | C12N  | 15/82     |                    |
|             | B10       | WO 92/20801     | 11/26/92 | PCT                                    | C12N  | 15/29     |                    |
|             | B11       | WO 92/21699     | 12/10/92 | PCT                                    | C07K  | 7/10      |                    |
|             | B12       | WO 93/04586     | 03/18/93 | PCT                                    | A01N  | 63/00     |                    |
|             | B13       | WO 94/08010     | 04/14/94 | PCT                                    | C12N  | 15/29     |                    |
|             | B14       | WO 94/11511     | 05/26/94 | PCT                                    | C12N  | 15/29     |                    |
|             | B15       | WO 94/13810     | 06/23/94 | PCT                                    | C12N  | 15/29     |                    |
|             | B16       | WO 94/15961     | 07/21/94 | PCT                                    | C07K  | 7/10      |                    |
|             | B17       | WO 95/00653     | 01/05/95 | PCT                                    | C12N  | 15/82     |                    |
|             | B18       | WO 95/04754     | 02/16/95 | PCT                                    | C07K  | 14/415    |                    |
|             | B19       | WO 95/11306     | 04/27/95 | PCT                                    | C12N  | 15/82     |                    |
|             | B20       | WO 95/18229     | 07/06/95 | PCT                                    | C12N  | 15/29     |                    |
|             | B21       | WO 95/18855     | 07/13/95 | PCT                                    | C12N  | 15/11     |                    |
|             | B22       | WO 95/18859     | 07/13/95 | PCT                                    | C12N  | 15/29     |                    |
| ✓           | B23       | WO 95/21929     | 08/17/95 | PCT                                    | C12N  | 15/82     |                    |

Examiner: Medina A. IbrahimDate Considered: 6/28/03

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|-------------|-----------|-----------------|----------|---------|-------|-----------|--------------------|
| MAJ         | B24       | WO 95/24486     | 09/14/95 | PCT     | C12N  | 15/29     |                    |
|             | B25       | WO 96/03522     | 02/08/96 | PCT     | C12P  | 21/06     |                    |
|             | B26       | EP 0502718      | 03/04/92 | Europe  | A01N  | 37/46     |                    |
|             | B27       | EP 0612847      | 02/21/94 | Europe  | C12N  | 15/29     |                    |
|             | B28       | DE 4234131      | 04/21/94 | Germany | A01 H | 5/00      | yes                |
|             | B29       | WO 95/06730     | 03/09/95 | PCT     |       |           |                    |
|             | B30       | WO 95/30753     | 11/16/95 | PCT     |       |           |                    |
|             | B31       | EP 0228838      | 07/15/87 | Europe  |       |           |                    |
|             | BB1       | EP 0460753      | 12/11/91 | Europe  |       |           |                    |
| ↓           | BB2       | WO 9416076      | 07/21/94 | PCT     |       |           |                    |

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| Exam. Init. | Ref. Des. | Citation   |
|-------------|-----------|--|
| MAJ         | CA        | Bowles, <i>Annu. Rev. Biochem.</i> , 59:873-907, 1990.                   |
|             | CB        | Brears <i>et al.</i> , <i>Agro-Food-Industry Hi-Tech.</i> , 10-13, 1994. |
|             | CC        | Broekaert <i>et al.</i> , <i>Plant Physiol.</i> , 108:1353-1358, 1995.   |
|             | CD        | Terras <i>et al.</i> , <i>J. Biol. Chem.</i> , 267:15301-15309, 1992.    |
|             | CE        | Bent <i>et al.</i> , <i>Science</i> , 265:1856-1860, 1994.               |
|             | CF        | Grant <i>et al.</i> , <i>Cell</i> , 78:1101-1115, 1995.                  |
|             | CG        | Whitham <i>et al.</i> , <i>Science</i> , 269:843-846, 1995.              |
| ↓           | CH        | Jones <i>et al.</i> , <i>Science</i> , 266:789-793, 1994.                |

Examiner: *Medina A. Ibrahim*

Date Considered:

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Foreign Patent Documents *other art*

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|-------------|-----------|---|------|---------|-------|-----------|--------------------|
| <i>MAI</i>  | CI        | Ellis <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 92:4185, 1995.  |      |         |       |           |                    |
|             | CJ        | Song <i>et al.</i> , <i>Science</i> , 270:1804-1806, 1995.  |      |         |       |           |                    |
|             | CK        | Van Den Ackerveken <i>et al.</i> , <i>Plant J.</i> , 2:359, 1992.   |      |         |       |           |                    |
|             | CL        | Leon <i>et al.</i> <i>Proc. Natl. Acad. Sci., USA</i> , 92:10413-10417, 1995.   |      |         |       |           |                    |
|             | CM        | Masters, <i>In: Spray Drying Handbook</i> , Third Edition, G. Goodwin, Lt., London, 1979.   |      |         |       |           |                    |
|             | CN        | Worthing and Walker, <i>In: The Pesticide Manual</i> , Seventh Edition, British Crop Protection Council, 1983.                                |      |         |       |           |                    |
|             | CO        | Boorsma <i>et al.</i> , <i>J. Histochem Cytochem.</i> , 23:200-207, 1975.   |      |         |       |           |                    |
|             | CP        | Celano <i>et al.</i> , <i>BioTechniques</i> , 15:27-28, 1993.   |      |         |       |           |                    |
|             | CQ        | Sambrook <i>et al.</i> , <i>In: Molecular Cloning: A Laboratory Manual</i> , Cold Spring Harbor Press, Cold Spring Harbor, NY, 1989.          |      |         |       |           |                    |
|             | CR        | Ausubel <i>et al.</i> , <i>In: Current Protocols in Molecular Biology</i> , John Wiley and Sons, Inc., 1995.                                  |      |         |       |           |                    |
|             | CS        | Bauer <i>et al.</i> , <i>Gene</i> , 37:73, 1985.  |      |         |       |           |                    |
|             | CT        | Craik, <i>BioTechnique</i> , 3:12-19, 1985.   |      |         |       |           |                    |
|             | CU        | Osuna <i>et al.</i> , <i>Critical Reviews in Microbiology</i> , 20:107-116, 1994.   |      |         |       |           |                    |
|             | CV        | Walder <i>et al.</i> , <i>Gene</i> , 42:133, 1986.  |      |         |       |           |                    |
|             | CW        | Pyee <i>et al.</i> , <i>Plant J.</i> , 7:49-59, 1995.   |      |         |       |           |                    |
|             | CX        | Christensen <i>et al.</i> , <i>Plant Mol. Biol.</i> , 18:675-689, 1992.   |      |         |       |           |                    |
|             | CY        | Murray <i>et al.</i> , <i>Nucl. Acids. Res.</i> , 17:477-498, 1989.   |      |         |       |           |                    |
| <i>MAI</i>  | CZ        | Compton, <i>In: PCR™ Protocols, A Guide to Methods and Applications</i> , Innis <i>et al.</i> , Eds., Academic Press, San Diego, 39-45, 1990. |      |         |       |           |                    |

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| Filing Date:<br>November 13, 2001   | Group:<br>1638           |

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| Exam. Init. | Ref. Des. | Document Number  | Date | Country | Class | Sub Class | Translation Yes/No |
|-------------|-----------|--|------|---------|-------|-----------|--------------------|
| MAI         | DA        | Kawasaki, <i>In: PCR™ Protocols, A Guide to Methods and Applications</i> , Innis <i>et al.</i> , Eds., Academic Press, San Diego, 21-27, 1990. |      |         |       |           |                    |
|             | DB        | Mandel <i>et al.</i> , <i>Plant Mol. Biol.</i> , 29:995-1004, 1995.  |      |         |       |           |                    |
|             | DC        | Samac <i>et al.</i> , <i>Plant Cell</i> , 3:1063-1072, 1991.   |      |         |       |           |                    |
|             | DD        | McElroy <i>et al.</i> , <i>Plant Cell</i> , 2:163-171, 1990.   |      |         |       |           |                    |
|             | DE        | Bol <i>et al.</i> , <i>Ann. Rev. Phytopathol.</i> , 28:113-138, 1990.  |      |         |       |           |                    |
|             | DF        | Linthorst, <i>Crit. Rev. Plant Sci.</i> , 10:123-150, 1991.  |      |         |       |           |                    |
|             | DG        | Fritzemeier <i>et al.</i> , <i>Plant Physiol.</i> , 85:34-41, 1987.  |      |         |       |           |                    |
|             | DH        | Logemann <i>et al.</i> , <i>Plant Cell</i> , 1:151-158, 1989.  |      |         |       |           |                    |
|             | DI        | Schroder <i>et al.</i> , <i>Plant J.</i> , 2:161-172, 1992.  |      |         |       |           |                    |
|             | DJ        | Martini <i>et al.</i> , <i>Mol. Gen. Genet.</i> , 263:179, 1993.   |      |         |       |           |                    |
|             | DK        | Weigel, <i>Annu. Rev. Genetics</i> , 29:19-39, 1995.   |      |         |       |           |                    |
|             | DL        | Kay <i>et al.</i> , <i>Science</i> , 236:1299, 1987.   |      |         |       |           |                    |
|             | DM        | Gordon-Kamm <i>et al.</i> , <i>Plant Cell</i> , 2:603, 1990.   |      |         |       |           |                    |
|             | DN        | Winter, <i>Mol. Gen. Genet.</i> , 221:315-319, 1988.   |      |         |       |           |                    |
|             | DO        | Campbell <i>et al.</i> , <i>Plant Physiol.</i> , 92:1-11, 1990.  |      |         |       |           |                    |
|             | DP        | Joaquim <i>et al.</i> , <i>Phytopathology</i> , 81:552-558, 1991.  |      |         |       |           |                    |
|             | DQ        | Bytebier <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 84:5345, 1987.  |      |         |       |           |                    |
|             | DR        | Wan and Lemaux, <i>Plant Physiol.</i> , 104:37, 1994.  |      |         |       |           |                    |
|             | DS        | Rhodes <i>et al.</i> , <i>Science</i> , 240:204, 1988.   |      |         |       |           |                    |
| ✓           | DT        | Fromm <i>et al.</i> , <i>Bio/Technology</i> , 8:833, 1990.   |      |         |       |           |                    |

Examiner: *Medina A. Ibrahim*Date Considered: *6/28/03*

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| <i>MAI</i>  | DU        | Koziel <i>et al.</i> , <i>Bio/Technology</i> , 11:194, 1993.                   |      |         |       |           |                    |
|             | DV        | Somers <i>et al.</i> , <i>Bio/Technology</i> , 10:1589, 1992.                  |      |         |       |           |                    |
|             | DW        | Zhang <i>et al.</i> , <i>Plant Cell Rep.</i> , 7:379, 1988.                    |      |         |       |           |                    |
|             | DX        | Luo and Wu, <i>Plant Mol. Biol. Rep.</i> , 6:165, 1988.                        |      |         |       |           |                    |
|             | DY        | Zhang and Wu, <i>Theor. Appl. Genet.</i> , 76:835, 1988.                       |      |         |       |           |                    |
|             | DZ        | Christou <i>et al.</i> , <i>Bio/Technology</i> , 9:957, 1991.                  |      |         |       |           |                    |
|             | EA        | De la Pena <i>et al.</i> , <i>Nature</i> , 325:274, 1987.                      |      |         |       |           |                    |
|             | EB        | Casas <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 90:11212, 1993.      |      |         |       |           |                    |
|             | EC        | Wang <i>et al.</i> , <i>Bio/Technology</i> , 10:691, 1992.                     |      |         |       |           |                    |
|             | ED        | Zhong <i>et al.</i> , <i>Plant Cell Rep.</i> , 13:1, 1993.                     |      |         |       |           |                    |
|             | EE        | Vasil <i>et al.</i> , <i>Bio/Technology</i> , 10:667, 1992.                    |      |         |       |           |                    |
|             | EF        | Becker <i>et al.</i> , <i>Plant J.</i> , 5:299, 1994.                          |      |         |       |           |                    |
|             | EG        | Gasser and Fraley, <i>Science</i> , 244:1293, 1989.                            |      |         |       |           |                    |
|             | EH        | Stalker <i>et al.</i> , <i>Mol. Gen. Genet.</i> , 18:8-12, 1981.               |      |         |       |           |                    |
|             | EI        | Ditta <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 77:7347, 1980.       |      |         |       |           |                    |
|             | EJ        | Murashige <i>et al.</i> , <i>Physiol. Plant</i> , 15:473, 1962.                |      |         |       |           |                    |
|             | EK        | Fraley <i>et al.</i> , <i>Proc. Natl. Acad. Sci. USA</i> , 80:4803, 1983.      |      |         |       |           |                    |
|             | EL        | Bower and Birch, <i>Plant J.</i> , 2:409, 1992.                                |      |         |       |           |                    |
|             | EM        | Cuypers <i>et al.</i> , <i>Mol. Plant-Microbe Interact.</i> , 1:157-160, 1988. |      |         |       |           |                    |
|             | EN        | Fisk <i>et al.</i> , <i>Scientia Horticulturae</i> , 55:5-36, 1993.            |      |         |       |           |                    |
| <i>MAI</i>  | EO        | Matton <i>et al.</i> , <i>Mol. Plant-Microbe Interact.</i> , 2:325-331, 1989.  |      |         |       |           |                    |

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| MA1         | EP        | Scoble <i>et al.</i> , In: <i>A Practical Guide to Protein and Peptide Purification for Microsequencing</i> , P. Matsudaira, Ed., Academic Press Inc., San Diego, 125-153, 1993.                        |      |         |       |           |                    |
|             | EQ        | Smith <i>et al.</i> , In: <i>Genetic Engineering: Principles and Methods</i> , Setlow <i>et al.</i> , Eds., Plenum Press NY, 1-32, 1981.  |      |         |       |           |                    |
|             | ER        | Stone and Williams, In: <i>A Practical Guide to Protein and Peptide Purification for Microsequencing</i> , P. Matsudaira, Ed., Academic Press Inc., San Diego, 43-69, 1993.                             |      |         |       |           |                    |
|             | ES        | Van Valkenburg, In: <i>Pesticide Formulations</i> , Second Edition, Mercel Dekker, NY, 1972-1973.   |      |         |       |           |                    |
|             | ET        | Whitham <i>et al.</i> , "The Product of the Tobacco Mosaic Virus Resistance Gene N: Similarity to Toll and the Interleukin-1 Reactor," <i>Cell</i> , 78:1101-1115, 1994.                                |      |         |       |           |                    |
|             | EU        | Watkins <i>et al.</i> , In: <i>Handbook of Insecticide Dust Diluents and Carriers</i> , Second Edition, Dorland Books, Caldwell, H.J, 1955.   |      |         |       |           |                    |
|             | EV        | Zoller and Smith, <i>Nucleic Acids Research</i> , IRL Press Limited, Volume 10 Number 20, 1982.   |      |         |       |           |                    |
|             | EW        | International Search Report dated January 7, 1998 (MOBT:010P).  |      |         |       |           |                    |
|             | EX        | Terras <i>et al.</i> , "Analysis of two novel classes of plant antifungal proteins from radish ( <i>Raphanus sativus</i> )," <i>Journal of Biological Chemistry</i> , 267(22):15301-15309, August 1992. |      |         |       |           |                    |
|             | EY        | Terras <i>et al.</i> , "A new family of basic cysteine-rich plant antifungal proteins from Brassicaceae species," <i>FEBS Letters</i> , 316(3):233-240, February 1993.                                  |      |         |       |           |                    |
|             | EZ        | Terras <i>et al.</i> , "Small cysteine-rich antifungal proteins from radish: Their role in host defense," <i>Plant Cell</i> , 7(5):573-588, May 1995.   |      |         |       |           |                    |
|             | FA        | Vilas Alves <i>et al.</i> , "Expression of functional <i>Raphanus sativus</i> antifungal protein in yeast," <i>FEBS Letters</i> , 348:228-232, 1994.  |      |         |       |           |                    |
|             | C14       | Chiang <i>et al.</i> , "The <i>Fusarium solani</i> -induced expression of a Pea gene family encoding high cysteine content proteins," <i>Molecular Plant-Microbe Interactions</i> , 4:324-331, 1991.    |      |         |       |           |                    |
| ✓           | C15       | Grant <i>et al.</i> , "Structure of the <i>Arabidopsis RPM1</i> gene enabling dual specificity disease resistance," <i>Science</i> , 269:843-846, 1995.   |      |         |       |           |                    |

Examiner: *Meding A. Ibrahim*Date Considered: *6/28/03*

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## Form PTO-1449 (modified)

List of Patents and Publications for Applicant's

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| U.S. Patent Documents<br>See Page 1 | Foreign Patent Documents<br>See Page 1 | Other Art<br>See Page 3 |
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Foreign Patent Documents *other art*

| Exam. Init. | Ref. Des. | Document Number  | Date | Country | Class | Sub Class | Translation Yes/No |
|-------------|-----------|--|------|---------|-------|-----------|--------------------|
| MAI         | C16       | Troy Weeks <i>et al.</i> , "Rapid production of multiple independent lines of fertile transgenic wheat ( <i>Triticum aestivum</i> )," <i>Plant Physiol.</i> , 102:1077, 1993.  |      |         |       |           |                    |
|             | C17       | Ishibashi <i>et al.</i> , "Stored mRNA in cotyledons of <i>Vigna unguiculata</i> seeds: Nucleotide sequence of cloned cDNA for a stored mRNA and induction of its synthesis by precocious germination," <i>Plant Molecular Biology</i> , 15:59-64, 1990.   |      |         |       |           |                    |
|             | C18       | De Maagd <i>et al.</i> , "Different domains of <i>Bacillus thuringiensis</i> δ-endotoxins can bind to insect midgut membrane proteins on ligand blots," <i>Applied and Environmental Microbiology</i> , 62(8):2753-2757, 1996.                             |      |         |       |           |                    |
|             | C19       | Honée <i>et al.</i> , "A translation fusion product of two different insecticidal crystal protein genes of <i>Bacillus thuringiensis</i> exhibits an enlarged insecticidal spectrum," <i>Applied and Environmental Microbiology</i> , 56(3):823-825, 1990. |      |         |       |           |                    |
|             | C20       | International Search Report dated April 20, 1998 (PCT/US97/21587)(MEO:205P).   |      |         |       |           |                    |
| ✓           | CC1       | International Search Report dated May 20, 1998 (PCT/US97/22662).   |      |         |       |           |                    |

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